

Alabama Film Office



Functional Analysis & Records Disposition Authority

**Presented to the
State Records Commission
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Functional and Organizational Analysis of the Alabama Film Office

Sources of Information

- Representatives of the Alabama Film Office
- Code of Alabama 1975 § 41-7A-1 to § 41-7A-3; § 41-7A-40 to § 41-7A-48
- Alabama Government Manual (2006), p. 42
- Alabama Film Office Website

Historical Context

Originally established as the Alabama Film Commission on January 15, 1978, the office was renamed the Alabama Film Office by Executive Order No. 1, dated February 20, 1987. The office was operated under the Alabama Development Office until 2008 when Governor Bob Riley relocated it, through Executive Order No. 45 (December 31, 2008), to the Alabama Bureau of Tourism and Travel. On October 1, 2011, the office was placed under the Alabama Development Office again by Governor Robert Bentley.

Agency Organization

The management of the Alabama Film Office (AFO) is vested in the Director of the Alabama Development Office. Day to day operations are currently handled by four (4) staff members. There was an Alabama Film Advisory Commission which consisted of sixteen (16) members appointed by and served at the pleasure of the governor. The commission advised and consulted with the Alabama Film Office concerning the development of film making opportunities in Alabama, and assisted in the securing of suitable sites for motion picture makers in location production. The commission is no longer in place.

Agency Function and Subfunctions

The mandated function for the Alabama Film Office is to promote the State of Alabama to the motion picture, television, and video industry for on-location productions; and to coordinate requests for the location assistance within the state. The office is one of the agencies primarily involved in carrying out the Economic Development function of Alabama government.

In the performance of its mandated function, the office may engage in the following subfunctions:

- **Promoting.** The office staff plans and promotes Alabama as a potential location for film production or related projects. Staff members may collect and compile various resource guides (such as the Alabama Production Directory), photographs, videos, and other related materials documenting potential filming and production locations in Alabama for reference and possible use by the film industry for its projects. In addition,

AFO may assist film producers from pre-production through principle photography with all location contracts (with property owners, local government officials, and chambers of commerce).

- **Assisting.** In order to promote the development of the entertainment industry in Alabama, AFO is authorized in 2009 to award up to \$10 million dollars each year in incentives to production companies that produce certain projects in the state. Available incentives include an income tax rebate and an exemption from the state portion of sales, use, and lodging taxes if the production project meets certain conditions. AFO staff is obligated, in conjunction with the Department of Revenue, to review, approve, and coordinate all follow up actions for applications for incentives.
- **Administering Internal Operations.** A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support its programmatic areas.

Managing the Agency: Activities include internal office management activities common to most government agencies such as corresponding and communicating; scheduling; meeting; documenting policy and procedures; reporting; litigating; drafting, promoting, or tracking legislation; publicizing and providing information; managing records; and managing information systems and technology.

Managing Finances: Activities involved in managing finances may include the following: budgeting (preparing and reviewing the budget package, submitting the budget package to the Department of Finance, documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; and assisting in the audit process.

Managing Human Resources: Activities involved in managing human resources may include the following: recruiting and hiring eligible individuals to fill vacant positions within the agency; providing compensation and benefits to employees; supervising employees (evaluating performance, disciplining, granting leave, and monitoring the accumulation of leave); and providing training and continuing education for employees.

Managing Properties, Facilities, and Resources: Activities involved in managing properties, facilities, and resources may include the following: inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities; leasing and/or renting offices or facilities; providing for security and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles.

Analysis of Record Keeping System and Records Appraisal of the Alabama Film Office

Agency Record Keeping System

The Alabama Film Office (AFO) operates a hybrid system composed of a computer system and a paper record-keeping system.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Alabama Film Office: Temporary Records and Permanent Records.

I. Temporary Records. Temporary records should be held for what is considered to be their active life and disposed of once all fiscal, legal and administrative requirements have been met.

- **Production Incentive Audit Files.** This series contains mainly final audit reports prepared by an independent certified public accountants (CPA) to attest that all production expenditures are accurate and meet the tax rebate requirements. The office maintains this series for 10 years after the end of the year in which the production is completed.

II. Permanent Records. The Government Records Division recommends the following records as permanent.

Promoting

- **Informational and Promotional Publications.** To promote various locations and technical crew available in Alabama for film or other entertainment productions, AFO may compile and prepare resource guides and other promotional materials for distribution and reference. One of the major publications is the Alabama Production Directory, which provides potential clients with a library of locations, production staff, technical crew, and support services in Alabama. This series should be preserved permanently as it contains important information on the office's function. **(Bibliographic Title: State Publications)**
- **Film Production Location Visual Reference Files.** These records are created and maintained to provide a visual sampling of the sites and locations of Alabama for possible reference by potential film producers. The materials are may include visual files of different formats: photographic images, slides, films, video tapes, and DVDs. The reference value of this series diminishes after 5 years, but the records should be preserved permanently to document the changes to the state's landscape over years. **(Bibliographic Title: Film Production Location Visual Reference Files)**

- **Meeting Files of the Alabama Film Advisory Commission (No Longer Created).** This series may contain meeting agenda, minutes, and supporting packets created by the commission during its existence. Files should be kept permanently as a core documentation. **(Bibliographic Title: Meeting Agendas and Minutes)**
- **Website.** The agency has a website at www.alabamafilm.org. Information on the website includes mission statement, logistic supports, news, tax incentive program, and application forms. This series documents the functions of the agency and its interaction with the public. The agency should “preserve a complete copy of website annually or as often as significant changes are made.” **(Bibliographic Title: Website)**

Assisting

- **State-Certified Production Incentive Files.** This series documents the work of AFO staff members in receiving, reviewing, and approving applications for production incentives under the Alabama Entertainment Industry Incentive Act of 2009. Records may include approved applications, project description, production budgets, copies of tax exemption certificate issued by the Department of Revenue, correspondence, and other related materials. This series should be preserved permanently as a documentation of the implementation of the Alabama Entertainment Industry Incentive Act of 2009. **(Bibliographic Title: State- Certified Production Incentive Files)**

Permanent Records List Alabama Film Office

Promoting

1. Informational and Promotional Publications
2. Film Production Location Visual Reference Files
3. Meeting Files of the Alabama Film Advisory Commission (No Longer Created)
4. Website

Assisting

1. State-Certified Production Incentive Files
2. Movie Production Scripts – Productions Filmed in Alabama*

*indicates records that the ADAH anticipates will remain in the care and custody of the creating agency.

ADAH staff members are available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.

Alabama Film Office Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975 § 41-13-5 and § 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Alabama Film Office. The RDA lists records created and maintained by the Alabama Film Office (AFO) in carrying out its mandated functions and subfunctions. It establishes retention periods and disposition instructions for those records and provides the legal authority for the Alabama Film Office to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975 § 36-12-2, § 36-12-4, and § 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Alabama Film Office's records. Copies of superseded schedules are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain records and records-related materials need not be retained as records under the disposition requirements in this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term, internal purposes that may include, but are not limited to: telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about social activities; and (5) honorary materials,

plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff.. They may be disposed of without documentation of destruction.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Alabama Film Office and lists the groups of records created and/or maintained by the agency as a result of activities and transactions performed in carrying out these subfunctions. The agency may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

Promoting

INFORMATIONAL AND PROMOTIONAL PUBLICATIONS

Disposition: PERMANENT RECORD.

FILM PRODUCTION LOCATION VISUAL REFERENCE FILES

Disposition: PERMANENT RECORD.

MEETING FILES OF THE ALABAMA FILM ADVISORY COMMISSION (NO-LONGER CREATED)

Disposition: PERMANENT RECORD.

WEBSITE

Disposition: PERMANENT RECORD. Preserve a complete copy annually or as often as significant changes are made.

Assisting

STATE-CERTIFIED PRODUCTION INCENTIVE FILES

Disposition: PERMANENT RECORD.

Production Incentive Audit Files

Disposition: Temporary Record. Retain 10 years after the end of the year in which the production is completed.

Movie Production Scripts

- a. Productions Filmed in Alabama
Disposition: PERMANENT RECORD. Retain in office.
- b. Productions Not Filmed in Alabama
Disposition: Temporary Record. Retain 5 years.

Administering Internal Operations

Original copies of records created under the Administering Internal Operations are maintained by the office's umbrella agency (currently the Alabama Development Office). Therefore, duplicate copies of these records maintained by this office are not subject to retention requirement.

Requirement and Recommendations for Implementing the Records Disposition Authority (RDA)

Under the Code of Alabama 1975 § 41-13-21, “no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without first obtaining approval of the State Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of the Alabama Film Office (hereafter referred to as the agency) as stipulated in this document.

One condition of this authorization is that the agency submit an annual Records Disposition Authority (RDA) Implementation Report on agency records management activities, including documentation of records destruction, to the State Records Commission in October of each year. In addition, the agency should make every effort to establish and maintain a quality record-keeping program through the following activities:

- The agency should designate a records liaison, who is responsible for: ensuring the quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency’s approved RDA.
- Permanent records in the agency’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis – for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA’s provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the board chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records’ permanent preservation and accessibility.
- Electronic mail contains permanent, temporary, or transitory record information. Although e-mail records can be printed out, filed, and retained according to the RDA’s requirements, the division should preferably employ an electronic records management system capable of sorting e-mail into folders and archiving messages having long-term value.

The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of the permanent records maintained in the custody of the agency and inspect records destruction documentation. Government Records Division archivists are available to instruct the agency staff in RDA implementation and otherwise assist the agency in implementing its records management program.

The State Records Commission adopted this revision to the Records Disposition Authority on November 2, 2011.

Edwin C. Bridges, Chairman, by Tracey Berezansky
State Records Commission

Date

Receipt acknowledged:

Greg Canfield, Director
Alabama Development Office

Date